



*Handwritten notes and signatures in the top right corner.*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): William S. Adney et al. )  
Serial No.: 09/917,384 ) Art Unit: 1645  
Filing Date: July 28, 2001 ) Examiner: Not Yet Accorded  
Title: THERMAL TOLERANT EXOGLUCANASE ) Atty. Dkt. No.: NREL 01-38  
FROM *ACIDOTHERMUS CELLULOLYTICUS* )

CERTIFICATE OF MAILING UNDER 37 CFR § 1.8

I hereby certify that the following attached items:

- (1) Preliminary Amendment and Response to Notice to Comply with Requirements for Patent Application Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosure [5 pages]
- (2) Statement to Support Filing and Submission in Accordance with 37 CFR §§ 1.121 and 1.825 [2 pages]
- (3) Sequence Listing [17 pages]
- (4) Computer Readable Copy of the Sequence Listing
- (5) Part 2 - Copy of Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures
- (6) Postcard receipt

are being deposited in the United States Postal Service as first class mail, postage pre-paid, in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC. 20231 on this 22nd day of October 2001.

*Paul J. White*  
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Attorney for Applicants

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1617 Cole Boulevard  
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303/384-7575  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Applicant(s): Shi-You Ding et al. )  
Serial No.: 09/917,384 ) Art Unit: 1645  
Filing Date: July 28, 2001 ) Examiner: Not Yet Accorded  
Title: THERMAL TOLERANT EXOGLUCANASE ) Atty. Dkt. No.: NREL 01-37  
FROM *ACIDOTHERMUS CELLULOLYTICUS* )

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- (2) Statement to Support Filing and Submission in Accordance with 37 CFR §§ 1.121 and 1.825 [2 pages]
- (3) Sequence Listing [21 pages]
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## UNITED STATES PATENT AND TRADEMARK OFFICE

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WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/917,384	07/28/2001	William S. Adney	NREL 01-38

CONFIRMATION NO. 9964

23712  
PAUL J WHITE, SENIOR COUNSEL  
NATIONAL RENEWABLE ENERGY LABORATORY (NREL)  
1617 COLE BOULEVARD  
GOLDEN, CO 80401-3393

## FORMALITIES LETTER



\*OC000000006462229\*

Date Mailed: 08/23/2001

### NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

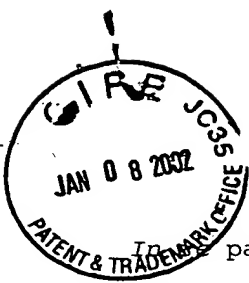
- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

*A copy of this notice **MUST** be returned with the reply.*

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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#5

Atty. Docket No: 40197.5US01

patent application of

ADNEY, WILLIAM S. et al.

Serial No. 09/917,384

Filed: July 28, 2001

For: THERMAL TOLERANT EXOGLUCANASE FROM ACIDOTHERMUS CELLULOLYTICUS

STATEMENT TO SUPPORT FILING AND SUBMISSION IN  
ACCORDANCE WITH 37 C.F.R. §§ 1.821-1.825

Assistant Commissioner for Patents  
Washington, D.C. 20231  
Box SEQUENCE

Sir:

In connection with a Sequence Listing submitted concurrently herewith, the undersigned hereby states that:

1. the submission, filed herewith in accordance with 37 C.F.R. § 1.821(g), does not include new matter;

2. the content of the attached paper copy and the attached computer readable copy of the Sequence Listing, submitted in accordance with 37 C.F.R. § 1.821(c) and (e), respectively, are the same; and

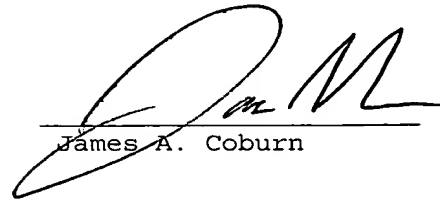
3. all statements made herein of their own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United

Serial No. 09/917,384

States Code and that such willful false statements may jeopardize the validity of the application or any patent resulting therefrom.

Respectfully submitted,

Oct. 10, 2001  
Date

  
James A. Coburn

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